UNITED STATES PATENT AND TRADEMARK OFFICE

APPLICATION NO.	FILING DATE	FIRST NAMED INVENTOR	ATTORNEY DOCKET NO.	CONFIRMATION NO.
10/767,546	01/29/2004	Thomas J. Daley	04-6163	6583

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ART UNIT	PAPER NUMBER
3684	

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Please find below and/or attached an Office communication concerning this application or proceeding.

The time period for reply, if any, is set in the attached communication.

PTOL-90A (Rev. 04/07)

	Application No.	Applicant(s)
Office Action Summary	10/767,546	DALEY ET AL.
	Examiner	**Art Unit**	
	GERALD C. VIZVARY	3684	

-- The MAILING DATE of this communication appears on the cover sheet with the correspondence address --

Period for Reply

A SHORTENED STATUTORY PERIOD FOR REPLY IS SET TO EXPIRE _3_ MONTH(S) OR THIRTY (30) DAYS, WHICHEVER IS LONGER, FROM THE MAILING DATE OF THIS COMMUNICATION.

- Extensions of time may be available under the provisions of 37 CFR 1.136(a). In no event, however, may a reply be timely filed after SIX (6) MONTHS from the mailing date of this communication.
- If NO period for reply is specified above, the maximum statutory period will apply and will expire SIX (6) MONTHS from the mailing date of this communication.
- Failure to reply within the set or extended period for reply will, by statute, cause the application to become ABANDONED (35 U.S.C. § 133). Any reply received by the Office later than three months after the mailing date of this communication, even if timely filed, may reduce any earned patent term adjustment. See 37 CFR 1.704(b).

Status

1)☒ Responsive to communication(s) filed on _30 June 2010_.

2a)☐ This action is **FINAL**.   2b)☒ This action is non-final.

3)☐ Since this application is in condition for allowance except for formal matters, prosecution as to the merits is closed in accordance with the practice under *Ex parte Quayle*, 1935 C.D. 11, 453 O.G. 213.

Disposition of Claims

4)☒ Claim(s) _1-4,11,12,14-17 and 37-59_ is/are pending in the application.

    4a) Of the above claim(s) _____ is/are withdrawn from consideration.

5)☐ Claim(s) _____ is/are allowed.

6)☒ Claim(s) _1-4,11,12,14-17 and 37-59_ is/are rejected.

7)☐ Claim(s) _____ is/are objected to.

8)☐ Claim(s) _____ are subject to restriction and/or election requirement.

Application Papers

9)☐ The specification is objected to by the Examiner.

10)☐ The drawing(s) filed on _____ is/are: a)☐ accepted or b)☐ objected to by the Examiner.

    Applicant may not request that any objection to the drawing(s) be held in abeyance. See 37 CFR 1.85(a).

    Replacement drawing sheet(s) including the correction is required if the drawing(s) is objected to. See 37 CFR 1.121(d).

11)☐ The oath or declaration is objected to by the Examiner. Note the attached Office Action or form PTO-152.

Priority under 35 U.S.C. § 119

12)☐ Acknowledgment is made of a claim for foreign priority under 35 U.S.C. § 119(a)-(d) or (f).

    a)☐ All   b)☐ Some * c)☐ None of:

      1.☐ Certified copies of the priority documents have been received.

      2.☐ Certified copies of the priority documents have been received in Application No. _____.

      3.☐ Copies of the certified copies of the priority documents have been received in this National Stage application from the International Bureau (PCT Rule 17.2(a)).

    * See the attached detailed Office action for a list of the certified copies not received.

Attachment(s)

1) ☒ Notice of References Cited (PTO-892)

2) ☐ Notice of Draftsperson's Patent Drawing Review (PTO-948)

3) ☒ Information Disclosure Statement(s) (PTO/SB/08)
Paper No(s)/Mail Date _11/5/2009, 2/8/2010, 6/30/2010, 7/21/2010_.

4) ☐ Interview Summary (PTO-413)
Paper No(s)/Mail Date. _____ .

5) ☐ Notice of Informal Patent Application

6) ☐ Other: _____.

DETAILED ACTION

Response to Amendment

1.   In the amendment filed 5/20/2010, the following has occurred:

    a.   Claims 1, 11, 12 & 14 have been amended.

    b.   Claims 5-10, 13, 18-36 have been canceled.

    c.   Claim 37-59 are new.

Now, claims 1-4, 11, 12, 14-17 & 37-59 are presented for examination.

Claim Rejections - 35 USC § 101

2.   Following applicant's amendments of 4/7/2010 and 5/20/2010 the rejections under 35 USC § 101 are withdrawn.

Claim Rejections - 35 USC § 112

3.   Following applicant's amendments of 4/7/2010 and 5/20/2010, the rejections under 35 USC § 112 are hereby withdrawn. However, see below.

Claim Rejections - 35 USC § 112

4.   The following is a quotation of the second paragraph of 35 U.S.C. 112:

> The specification shall conclude with one or more claims particularly pointing out and distinctly claiming the subject matter which the applicant regards as his invention.

Independent claims 1, 38 & 49 recite the limitation "the best price" in line 12. There is insufficient antecedent basis for this limitation in the claim. Independent claims should introduce the limitation.

Response to Arguments

5.   Applicant's arguments with respect to claims 1-4, 11, 12, 14-17 & 37-59 have

been considered, but are moot in view of the new ground(s) of rejection.

Claim Rejections - 35 USC § 103

6.   The following is a quotation of 35 U.S.C. 103(a) which forms the basis for all

obviousness rejections set forth in this Office action:

> (a) A patent may not be obtained though the invention is not identically disclosed or described as set
> forth in section 102 of this title, if the differences between the subject matter sought to be patented and
> the prior art are such that the subject matter as a whole would have been obvious at the time the
> invention was made to a person having ordinary skill in the art to which said subject matter pertains.
> Patentability shall not be negatived by the manner in which the invention was made.

Claims 1-4, 11, 14, 16, 38-42, 44, 46, 49-53, 55 & 57 are rejected under 35 U.S.C.

103(a) as being unpatentable over Tozzoli US 5,717,989 in view of Grigsby US

2002/0016758 A1.

As per claim 1 (Currently Amended) Tozzoli US 5,717,989 discloses a method

comprising:

receiving from a remote device, a trading order that comprises:

a request to buy or sell a quantity of a trading product and a disclosure amount, in which

the disclosure amount is an amount of the quantity of the trading product that is to be

disclosed ("In accordance with another aspect of this invention, a method of facilitating

trade using a data processing system as well as a system and a digital computer for

facilitating trade serve to store purchase order data representing a contract between a

buyer and a seller, input a request to prepare a data entry template for entering

subsequent action data relating to a subsequent action in performance of the contract

represented by the stored purchase order data, prepare the data entry template based

on the purchase order data, output the prepared data entry template for entry of the

subsequent action data, enter the subsequent action data using the prepared data entry

template, and determine whether the entered subsequent action data satisfies the

contract based on the purchase order data." Tozzoli US 5,717,989 col. 3, lines 49-55);

identifying, via a processor, a plurality of market centers, in which each of the identified

market centers provides, at a price, the disclosure amount of the requested trading

product, in which each of the identified market centers comprises a disclosure policy

that indicates at least one rule for disclosing the trading order to the identified market

center ("The funder or its agents then gather information about companies wishing to

use the trade system of the present invention, and the funder compares the gathered

information with its profile to determine whether a company has acceptable

characteristics. If the comparison is satisfactory to the funder, the funder indicates

various account parameters thresholds, also referred to herein as criteria, for the

company to the trade system." Tozzoli US 5,717,989 col.5, lines 53-60), and

in which the processor and the remote device are in communication over a network;

determining, via the processor, by comparing each of the prices of the identified market

centers, that a first market center that provides the best price ("In accordance with the

seller's instructions, the trade system either transmits to the seller all buyers' offers

which meet the seller's terms and for which funding is guaranteed, or automatically

accepts a buyer's offer, e.g., the first buyer offer that meets the seller's terms, or the best price buyer offer received within a predetermined timeframe." Tozzoli US 5,717,989 col. 6, line 63–col. 7, line 2); and

determining, via the processor, a first disclosure policy of the first market center; and transmitting, via the processor, the trading order to the first market center by following at least one rule of the first disclosure policy ("Generally, a funder guarantees payment for transactions processed by the trade system between an approved buyer and a seller which satisfy the funder's predetermined criteria." Tozzoli US 5,717,989 col. 5, lines 36-39).

Tozzoli US 5,717,989 fails to explicitly teach that the criteria include disclosure policies. Grigsby US 2002/0016758 A1 teaches "Factors that affect the pricing of municipal securities are maturity, redemption features, interest rate structure, ratings, credit enhancement security, industry and purpose, tax status, size of trade, name recognition, size of debt program, credit quality, location, and disclosure policies." Grigsby US 2002/0016758 A1 ¶ [0008])

It would have been obvious to one of ordinary skill in the art at the time of the invention to expand the method of Tozzoli US 5,717,989 to include disclosure policies as taught by Grigsby US 2002/0016758 A1. One of ordinary skill in the art at the time of the invention would have been motivated to expand the method of Tozzoli US 5,717,989 in this way to compares the criteria with a proposed purchase order to determine whether the system can generate a payment guarantee on behalf of the funder for the buyer to the seller. (see at least the abstract of Tozzoli US 5,717,989).

As per claim 2 (Previously Presented) Tozzoli US 5,717,989 in view of Grigsby US 2002/0016758 A1 teaches a method of claim 1.

Tozzoli US 5,717,989 further discloses that the best price comprises a bid price that is higher than other bid prices provided by the plurality of identified market centers. ("In accordance with the seller's instructions, the trade system either transmits to the seller all buyers' offers which meet the seller's terms and for which funding is guaranteed, or automatically accepts a buyer's offer, e.g., the first buyer offer that meets the seller's terms, or the best price buyer offer received within a predetermined timeframe. As an example of electronic negotiation of a purchase order, the seller may instruct the system to accept the best buyer's offer with respect to a selected term." Tozzoli US 5,717,989 col. 6, line 63–col. 7, line 6)

As per claim 3 (Previously Presented) Tozzoli US 5,717,989 in view of Grigsby US 2002/0016758 A1 teaches a method of claim 1.

Tozzoli US 5,717,989 further discloses that the best price comprises an offer price that is lower than other offer prices provided by the plurality of identified market centers. ("In accordance with the seller's instructions, the trade system either transmits to the seller all buyers' offers which meet the seller's terms and for which funding is guaranteed, or automatically accepts a buyer's offer, e.g., the first buyer offer that meets the seller's terms, or the best price buyer offer received within a predetermined timeframe. As an example of electronic negotiation of a purchase order, the seller may instruct the system

to accept the best buyer's offer with respect to a selected term." Tozzoli US 5,717,989

col. 6, line 63–col. 7, line 6)

As per claim 4 (Previously Presented) Tozzoli US 5,717,989 in view of Grigsby US

2002/0016758 A1 teaches a method of claim 1.

Tozzoli US 5,717,989 fails to explicitly teach that the trading product comprises at least

one of: a stock; a bond; and a futures contract.

Grigsby US 2002/0016758 A1 teaches "In a further aspect of the invention, the web site

may evaluate stock prices of closed end municipal funds based on the munindex pricing

engine and alert potential purchasers or investors to funds that may represent buying or

selling opportunities." Grigsby US 2002/0016758 A1 ¶ [0018])

It would have been obvious to one of ordinary skill in the art at the time of the invention

to expand the method of Tozzoli US 5,717,989 to include securities sales as taught by

Grigsby US 2002/0016758 A1. One of ordinary skill in the art at the time of the

invention would have been motivated to expand the method of Tozzoli US 5,717,989 in

this way since it is a computer system that facilitates trade in goods and services. (See

at least col. 1, lines 5 & 6 of Tozzoli US 5,717,989)

5-10. Cancelled.

As per claim 11 (Currently Amended) Tozzoli US 5,717,989 in view of Grigsby US

2002/0016758 A1 teaches a method of claim 1.

Tozzoli US 5,717,989 further discloses that the at least one rule of the first disclosure policy comprises: disclosing to other market participants the quantity of the desired trading product and the disclosure amount. ("The front end software at the buyer's premises may perform preliminary consistency checks on the data entered into the template, for example, ensuring that the quantities to be delivered according to a proposed delivery schedule, if one is supplied, equal the quantity ordered." Tozzoli US 5,717,989 col. 11, line 47-51)

13. Cancelled.

As per claim 14 (Currently Amended) Tozzoli US 5,717,989 in view of Grigsby US 2002/0016758 A1 teaches a method of claim 1.

in which the at least one rule of the first disclosure policy comprises:

transmitting a day order to the first market center, in which the day order comprises the disclosure quantity and the day order that remains on an order book of the first market center for the duration of a trading day until one of the following occurs:

the trading day ends, the day order is canceled, or the day order is filled.

Grigsby US 2002/0016758 A1 teaches "On the day of pricing, interested buyers subscribe to the bonds. If the issue is "oversubscribed," the price is raised. If the issue is "undersubscribed," the interest rate is increased, i.e., the price of bonds is reduced, in order to bring in more buyers until the financial advisor and the underwriting syndicate reach an agreed upon final price." Grigsby US 2002/0016758 A1 ¶ [0015])

It would have been obvious to one of ordinary skill in the art at the time of the invention to expand the article of manufacture of Tozzoli US 5,717,989 to include disclosure policies as taught by Grigsby US 2002/0016758 A1. One of ordinary skill in the art at the time of the invention would have been motivated to expand the article of manufacture of Tozzoli US 5,717,989 in this way to compares the criteria with a proposed purchase order to determine whether the system can generate a payment guarantee on behalf of the funder for the buyer to the seller. (See at least the abstract of Tozzoli US 5,717,989)

As per claim 16 (Previously Presented) Tozzoli US 5,717,989 in view of Grigsby US 2002/0016758 A1 teaches a method of claim 1.

Tozzoli US 5,717,989 further discloses that the first disclosure policy is an immediate-or-cancel (IOC) policy.

"After a buyer's proposed purchase order is accepted by a seller, the trade system converts it to an actual or original purchase order, stores it as purchase order data in storage 50 and/or memory 60, updates buyer and seller account data stored in storage 50, notifies the funder and is then ready to filter data representing subsequent actions against the original purchase order data. It will be appreciated that the purchase order may be modified or cancelled in accordance with the wishes of the buyer and/or seller." Tozzoli US 5,717,989 col. 8, line 13-21)

18-36. Cancelled.

As per claim 38 (New) Tozzoli US 5,717,989 discloses an apparatus comprising: a

processor; and

a memory, in which the memory stores instructions, which, when executed by the

processor, direct the processor to perform the acts of: receiving a trading order that

comprises:

a request to buy or sell a quantity of a trading product and a disclosure amount, in which

the disclosure amount is an amount of the quantity of the trading product that is to be

disclosed ("In accordance with another aspect of this invention, a method of facilitating

trade using a data processing system as well as a system and a digital computer for

facilitating trade serve to store purchase order data representing a contract between a

buyer and a seller, input a request to prepare a data entry template for entering

subsequent action data relating to a subsequent action in performance of the contract

represented by the stored purchase order data, prepare the data entry template based

on the purchase order data, output the prepared data entry template for entry of the

subsequent action data, enter the subsequent action data using the prepared data entry

template, and determine whether the entered subsequent action data satisfies the

contract based on the purchase order data." Tozzoli US 5,717,989 col. 3, lines 49-55);

identifying a plurality of market centers, in which each of the identified market centers

provides, at a price, the disclosure amount of the requested trading product, in which

each of the identified market centers comprises a disclosure policy that indicates at

least one rule for disclosing the trading order to the identified market center ("The funder

or its agents then gather information about companies wishing to use the trade system of the present invention, and the funder compares the gathered information with its profile to determine whether a company has acceptable characteristics. If the comparison is satisfactory to the funder, the funder indicates various account parameters thresholds, also referred to herein as criteria, for the company to the trade system." Tozzoli US 5,717,989 col.5, lines 53-60);

determining by comparing each of the prices of the identified market centers, that a first market center that provides the best price ("In accordance with the seller's instructions, the trade system either transmits to the seller all buyers' offers which meet the seller's terms and for which funding is guaranteed, or automatically accepts a buyer's offer, e.g., the first buyer offer that meets the seller's terms, or the best price buyer offer received within a predetermined timeframe." Tozzoli US 5,717,989 col. 6, line 63–col. 7, line 2); and

determining a first disclosure policy of the first market center; and transmitting the trading order to the first market center by following at least one rule of the first disclosure policy ("Generally, a funder guarantees payment for transactions processed by the trade system between an approved buyer and a seller which satisfy the funder's predetermined criteria." Tozzoli US 5,717,989 col. 5, lines 36-39).

Tozzoli US 5,717,989 fails to explicitly teach that the criteria include disclosure policies.

Grigsby US 2002/0016758 A1 teaches "Factors that affect the pricing of municipal securities are maturity, redemption features, interest rate structure, ratings, credit enhancement security, industry and purpose, tax status, size of trade, name

recognition, size of debt program, credit quality, location, and disclosure policies."
Grigsby US 2002/0016758 A1 ¶ [0008])

It would have been obvious to one of ordinary skill in the art at the time of the invention to expand the apparatus of Tozzoli US 5,717,989 to include disclosure policies as taught by Grigsby US 2002/0016758 A1. One of ordinary skill in the art at the time of the invention would have been motivated to expand the apparatus of Tozzoli US 5,717,989 in this way to compares the criteria with a proposed purchase order to determine whether the system can generate a payment guarantee on behalf of the funder for the buyer to the seller. (see at least the abstract of Tozzoli US 5,717,989)

As per claim 39 (New) Tozzoli US 5,717,989 in view of Grigsby US 2002/0016758 A1 teaches an apparatus of claim 38.

Tozzoli US 5,717,989 further discloses that the best price comprises a bid price that is higher than other bid prices provided by the plurality of identified market centers ("In accordance with the seller's instructions, the trade system either transmits to the seller all buyers' offers which meet the seller's terms and for which funding is guaranteed, or automatically accepts a buyer's offer, e.g., the first buyer offer that meets the seller's terms, or the best price buyer offer received within a predetermined timeframe. As an example of electronic negotiation of a purchase order, the seller may instruct the system to accept the best buyer's offer with respect to a selected term." Tozzoli US 5,717,989 col. 6, line 63–col. 7, line 6).

As per claim 40 (New) Tozzoli US 5,717,989 in view of Grigsby US 2002/0016758 A1 teaches an apparatus of claim 38.

Tozzoli US 5,717,989 further discloses that the best price comprises an offer price that is lower than other offer prices provided by the plurality of identified market centers. ("In accordance with the seller's instructions, the trade system either transmits to the seller all buyers' offers which meet the seller's terms and for which funding is guaranteed, or automatically accepts a buyer's offer, e.g., the first buyer offer that meets the seller's terms, or the best price buyer offer received within a predetermined timeframe. As an example of electronic negotiation of a purchase order, the seller may instruct the system to accept the best buyer's offer with respect to a selected term." Tozzoli US 5,717,989 col. 6, line 63–col. 7, line 6)

As per claim 41 (New) Tozzoli US 5,717,989 in view of Grigsby US 2002/0016758 A1 teaches an apparatus of claim 38.

 Tozzoli US 5,717,989 fails to explicitly teach that the trading product comprises at least one of: a stock; a bond; and a futures contract.

Grigsby US 2002/0016758 A1 teaches "In a further aspect of the invention, the web site may evaluate stock prices of closed end municipal funds based on the munindex pricing engine and alert potential purchasers or investors to funds that may represent buying or selling opportunities." Grigsby US 2002/0016758 A1 ¶ [0018])

Grigsby US 2002/0016758 A1 teaches "In a further aspect of the invention, the web site may evaluate stock prices of closed end municipal funds based on the munindex pricing

engine and alert potential purchasers or investors to funds that may represent buying or

selling opportunities." Grigsby US 2002/0016758 A1 ¶ [0018])

It would have been obvious to one of ordinary skill in the art at the time of the invention

to expand the method of Tozzoli US 5,717,989 to include securities sales as taught by

Grigsby US 2002/0016758 A1. One of ordinary skill in the art at the time of the

invention would have been motivated to expand the method of Tozzoli US 5,717,989 in

this way since it is a computer system that facilitates trade in goods and services. (See

at least col. 1, lines 5 & 6 of Tozzoli US 5,717,989)

As per claim 42 (New) Tozzoli US 5,717,989 in view of Grigsby US 2002/0016758 A1

teaches an apparatus of claim 38.

 Tozzoli US 5,717,989 further discloses that the at least one rule of the first disclosure

policy comprises: disclosing to other market participants the quantity of the desired

trading product and the disclosure amount. ("The front end software at the buyer's

premises may perform preliminary consistency checks on the data entered into the

template, for example, ensuring that the quantities to be delivered according to a

proposed delivery schedule, if one is supplied, equal the quantity ordered." Tozzoli US

5,717,989 col. 11, line 47-51)

As per claim 44 (New) Tozzoli US 5,717,989 in view of Grigsby US 2002/0016758 A1

teaches an apparatus of claim 38.

Tozzoli US 5,717,989 fails to teach that the at least one rule of the first disclosure policy comprises:

transmitting a day order to the first market center, in which the day order comprises the disclosure quantity and the day order that remains on an order book of the first market center for the duration of a trading day until one of the following occurs: the trading day ends, the day order is canceled, or the day order is filled.

Grigsby US 2002/0016758 A1 teaches "On the day of pricing, interested buyers subscribe to the bonds. If the issue is "oversubscribed," the price is raised. If the issue is "undersubscribed," the interest rate is increased, i.e., the price of bonds is reduced, in order to bring in more buyers until the financial advisor and the underwriting syndicate reach an agreed upon final price." Grigsby US 2002/0016758 A1 ¶ [0015])

It would have been obvious to one of ordinary skill in the art at the time of the invention to expand the article of manufacture of Tozzoli US 5,717,989 to include disclosure policies as taught by Grigsby US 2002/0016758 A1. One of ordinary skill in the art at the time of the invention would have been motivated to expand the article of manufacture of Tozzoli US 5,717,989 in this way to compares the criteria with a proposed purchase order to determine whether the system can generate a payment guarantee on behalf of the funder for the buyer to the seller. (See at least the abstract of Tozzoli US 5,717,989)

As per claim 46 (New) Tozzoli US 5,717,989 in view of Grigsby US 2002/0016758 A1 teaches an apparatus of claim 38.

 in which the first disclosure policy is an immediate-or-cancel (IOC) policy.

"After a buyer's proposed purchase order is accepted by a seller, the trade system converts it to an actual or original purchase order, stores it as purchase order data in storage 50 and/or memory 60, updates buyer and seller account data stored in storage 50, notifies the funder and is then ready to filter data representing subsequent actions against the original purchase order data. It will be appreciated that the purchase order may be modified or cancelled in accordance with the wishes of the buyer and/or seller." Tozzoli US 5,717,989 col. 8, line 13-21)

As per claim 49 (New) Tozzoli US 5,717,989 discloses an article of manufacture comprising:

a storage medium, in which the storage medium stores instructions, which, when executed by a processor, direct the processor to perform the acts of: receiving a trading order that comprises:

a request to buy or sell a quantity of a trading product and a disclosure amount, in which the disclosure amount is an amount of the quantity of the trading product that is to be disclosed ("In accordance with another aspect of this invention, a method of facilitating trade using a data processing system as well as a system and a digital computer for facilitating trade serve to store purchase order data representing a contract between a buyer and a seller, input a request to prepare a data entry template for entering subsequent action data relating to a subsequent action in performance of the contract represented by the stored purchase order data, prepare the data entry template based

on the purchase order data, output the prepared data entry template for entry of the

subsequent action data, enter the subsequent action data using the prepared data entry

template, and determine whether the entered subsequent action data satisfies the

contract based on the purchase order data." Tozzoli US 5,717,989 col. 3, lines 49-55);

identifying a plurality of market centers, in which each of the identified market centers

provides, at a price, the disclosure amount of the requested trading product, in which

each of the identified market centers comprises a disclosure policy that indicates at

least one rule for disclosing the trading order to the identified market center ("The funder

or its agents then gather information about companies wishing to use the trade system

of the present invention, and the funder compares the gathered information with its

profile to determine whether a company has acceptable characteristics. If the

comparison is satisfactory to the funder, the funder indicates various account

parameters thresholds, also referred to herein as criteria, for the company to the trade

system." Tozzoli US 5,717,989 col.5, lines 53-60);

determining by comparing each of the prices of the identified market centers, that a first

market center that provides the best price ("In accordance with the seller's instructions,

the trade system either transmits to the seller all buyers' offers which meet the seller's

terms and for which funding is guaranteed, or automatically accepts a buyer's offer, e.g.,

the first buyer offer that meets the seller's terms, or the best price buyer offer received

within a predetermined timeframe." Tozzoli US 5,717,989 col. 6, line 63–col. 7, line 2);

and

determining a first disclosure policy of the first market center; and transmitting the trading order to the first market center by following at least one rule of the first disclosure policy ("Generally, a funder guarantees payment for transactions processed by the trade system between an approved buyer and a seller which satisfy the funder's predetermined criteria." Tozzoli US 5,717,989 col. 5, lines 36-39).

Tozzoli US 5,717,989 fails to explicitly teach that the criteria include disclosure policies.

Grigsby US 2002/0016758 A1 teaches "Factors that affect the pricing of municipal securities are maturity, redemption features, interest rate structure, ratings, credit enhancement security, industry and purpose, tax status, size of trade, name recognition, size of debt program, credit quality, location, and disclosure policies." Grigsby US 2002/0016758 A1 ¶ [0008])

It would have been obvious to one of ordinary skill in the art at the time of the invention to expand the article of manufacture of Tozzoli US 5,717,989 to include disclosure policies as taught by Grigsby US 2002/0016758 A1. One of ordinary skill in the art at the time of the invention would have been motivated to expand the article of manufacture of Tozzoli US 5,717,989 in this way to compares the criteria with a proposed purchase order to determine whether the system can generate a payment guarantee on behalf of the funder for the buyer to the seller. (See at least the abstract of Tozzoli US 5,717,989)

As per claim 50 (New) Tozzoli US 5,717,989 in view of Grigsby US 2002/0016758 A1 teaches an article of manufacture of claim 49.

Tozzoli US 5,717,989 further discloses that the best price comprises a bid price that is higher than other bid prices provided by the plurality of identified market centers ("In accordance with the seller's instructions, the trade system either transmits to the seller all buyers' offers which meet the seller's terms and for which funding is guaranteed, or automatically accepts a buyer's offer, e.g., the first buyer offer that meets the seller's terms, or the best price buyer offer received within a predetermined timeframe. As an example of electronic negotiation of a purchase order, the seller may instruct the system to accept the best buyer's offer with respect to a selected term." Tozzoli US 5,717,989 col. 6, line 63–col. 7, line 6).

As per claim 51 (New) Tozzoli US 5,717,989 in view of Grigsby US 2002/0016758 A1 teaches an article of manufacture of claim 49.

Tozzoli US 5,717,989 further discloses that the best price comprises an offer price that is lower than other offer prices provided by the plurality of identified market centers. ("In accordance with the seller's instructions, the trade system either transmits to the seller all buyers' offers which meet the seller's terms and for which funding is guaranteed, or automatically accepts a buyer's offer, e.g., the first buyer offer that meets the seller's terms, or the best price buyer offer received within a predetermined timeframe. As an example of electronic negotiation of a purchase order, the seller may instruct the system to accept the best buyer's offer with respect to a selected term." Tozzoli US 5,717,989 col. 6, line 63–col. 7, line 6)

As per claim 52 (New) Tozzoli US 5,717,989 in view of Grigsby US 2002/0016758 A1 teaches an article of manufacture of claim 49.

Tozzoli US 5,717,989 fails to explicitly teach that the trading product comprises at least one of: a stock; a bond; and a futures contract.

Grigsby US 2002/0016758 A1 teaches "In a further aspect of the invention, the web site may evaluate stock prices of closed end municipal funds based on the munindex pricing engine and alert potential purchasers or investors to funds that may represent buying or selling opportunities." Grigsby US 2002/0016758 A1 ¶ [0018])

It would have been obvious to one of ordinary skill in the art at the time of the invention to expand the method of Tozzoli US 5,717,989 to include securities sales as taught by Grigsby US 2002/0016758 A1. One of ordinary skill in the art at the time of the invention would have been motivated to expand the method of Tozzoli US 5,717,989 in this way since it is a computer system that facilitates trade in goods and services. (See at least col. 1, lines 5 & 6 of Tozzoli US 5,717,989)

As per claim 53 (New) Tozzoli US 5,717,989 in view of Grigsby US 2002/0016758 A1 teaches an article of manufacture of claim 49.

Tozzoli US 5,717,989 further discloses that the at least one rule of the first disclosure policy comprises: disclosing to other market participants the quantity of the desired trading product and the disclosure amount. ("The front end software at the buyer's premises may perform preliminary consistency checks on the data entered into the template, for example, ensuring that the quantities to be delivered according to a

proposed delivery schedule, if one is supplied, equal the quantity ordered." Tozzoli US

5,717,989 col. 11, line 47-51)

As per claim 55 (New) Tozzoli US 5,717,989 in view of Grigsby US 2002/0016758 A1

teaches an article of manufacture of claim 49.

Tozzoli US 5,717,989 fails to teach that the at least one rule of the first disclosure policy

comprises:

transmitting a day order to the first market center, in which the day order comprises the

disclosure quantity and the day order that remains on an order book of the first market

center for the duration of a trading day until one of the following occurs: the trading day

ends, the day order is canceled, or the day order is filled.

"On the day of pricing, interested buyers subscribe to the bonds. If the issue is

"oversubscribed," the price is raised. If the issue is "undersubscribed," the interest rate

is increased, i.e., the price of bonds is reduced, in order to bring in more buyers until the

financial advisor and the underwriting syndicate reach an agreed upon final price."

Grigsby US 2002/0016758 A1 ¶ [0015])

It would have been obvious to one of ordinary skill in the art at the time of the invention

to expand the article of manufacture of Tozzoli US 5,717,989 to include disclosure

policies as taught by Grigsby US 2002/0016758 A1. One of ordinary skill in the art at

the time of the invention would have been motivated to expand the article of

manufacture of Tozzoli US 5,717,989 in this way to compares the criteria with a

proposed purchase order to determine whether the system can generate a payment

guarantee on behalf of the funder for the buyer to the seller. (See at least the abstract of Tozzoli US 5,717,989)

As per claim 57 (New) Tozzoli US 5,717,989 in view of Grigsby US 2002/0016758 A1 teaches an article of manufacture of claim 49.

in which the first disclosure policy is an immediate-or-cancel (IOC) policy.

"After a buyer's proposed purchase order is accepted by a seller, the trade system converts it to an actual or original purchase order, stores it as purchase order data in storage 50 and/or memory 60, updates buyer and seller account data stored in storage 50, notifies the funder and is then ready to filter data representing subsequent actions against the original purchase order data. It will be appreciated that the purchase order may be modified or cancelled in accordance with the wishes of the buyer and/or seller." Tozzoli US 5,717,989 col. 8, line 13-21)

7.   Claims 12, 15, 17, 37, 43, 45, 47, 48, 54, 56, 58 & 59 are rejected under 35 U.S.C. 103(a) as being unpatentable over Tozzoli US 5,717,989 in view of Grigsby US 2002/0016758 A1 further in view of Feinbaum US2002/0156719 A1

As per claim 12 (Currently Amended) Tozzoli US 5,717,989 in view of Grigsby US 2002/0016758 A1 teaches a method of claim 1.

Tozzoli US 5,717,989 in view of Grigsby US 2002/0016758 A1 fails to teach that the first disclosure is a proprietary reserve policy

""Show Only" instructs the system as to the portion of the total quantity that may be displayed to other users at any one time. The Show Only quantity will have price/time priority for only the amount shown. Amounts held in reserve will not have a price/time priority until shown." (Feinbaum US2002/0156719 A1 ¶ [0250])

It would have been obvious to one of ordinary skill in the art at the time of the invention to include a portion of the total quantity that may be displayed to other users at any one time as taught by Feinbaum US2002/0156719 A1 in the system of Tozzoli US 5,717,989 in view of Grigsby US 2002/0016758 A1, for the purpose of verifying that each portion of a transaction properly relates to the purchase order and criteria established by the funder and possibly by the trade system, since the claimed invention is merely a combination of old elements, and in the combination each element merely would have performed the same function as it did separately, and one of ordinary skill in the art would have recognized that the results of the combination were predictable.

As per claim 15 (Previously Presented) Tozzoli US 5,717,989 in view of Grigsby US 2002/0016758 A1 teaches a method of claim 1.

Tozzoli US 5,717,989 in view of Grigsby US 2002/0016758 A1 fails to teach that the at least one rule of the first disclosure policy comprises disclosing only the disclosure amount to other market participants.

Feinbaum US2002/0156719 A1 teaches ""Show Only" instructs the system as to the portion of the total quantity that may be displayed to other users at any one time. The Show Only quantity will have price/time priority for only the amount shown. Amounts held in reserve will not have a price/time priority until shown." Feinbaum US2002/0156719 A1 ¶ [0250])

It would have been obvious to one of ordinary skill in the art at the time of the invention to include disclosing a portion of the total quantity that may be displayed to other users at any one time as taught by Feinbaum US2002/0156719 A1 in the system of Tozzoli US 5,717,989 in view of Grigsby US 2002/0016758 A1, for the purpose of verifying that each portion of a transaction properly relates to the purchase order and criteria established by the funder and possibly by the trade system, since the claimed invention is merely a combination of old elements, and in the combination each element merely would have performed the same function as it did separately, and one of ordinary skill in the art would have recognized that the results of the combination were predictable.

As per claim 17 (Previously Presented) Tozzoli US 5,717,989 in view of Grigsby US 2002/0016758 A1 teaches a method of claim 16.

Tozzoli US 5,717,989 further discloses the act of transmitting the trading order to the first market center further comprises: transmitting an IOC order that comprises the quantity of the desired trading product; and receiving an indication from the first market center that a portion of the IOC order has been executed; and

transmitting, in response to receiving the indication that the portion of the IOC order has been executed, a request to cancel a remainder of the IOC order with the first market center, in which the remainder comprises the quantity of the desired trading product minus the executed portion of the IOC order.

""Show Only" instructs the system as to the portion of the total quantity that may be displayed to other users at any one time. The Show Only quantity will have price/time priority for only the amount shown. Amounts held in reserve will not have a price/time priority until shown." (Feinbaum US2002/0156719 A1 ¶ [0250])

It would have been obvious to one of ordinary skill in the art at the time of the invention to include a portion of the total quantity that may be displayed to other users at any one time as taught by Feinbaum US2002/0156719 A1 in the system of Tozzoli US 5,717,989 in view of Grigsby US 2002/0016758 A1, for the purpose of verifying that each portion of a transaction properly relates to the purchase order and criteria established by the funder and possibly by the trade system, since the claimed invention is merely a combination of old elements, and in the combination each element merely would have performed the same function as it did separately, and one of ordinary skill in the art would have recognized that the results of the combination were predictable.

As per claim 37 (New) Tozzoli US 5,717,989 in view of Grigsby US 2002/0016758 A1 teaches a method of claim 12.

 Tozzoli US 5,717,989 in view of Grigsby US 2002/0016758 A1 fails to teach that the act of transmitting the trading order to the first market center further comprises:

transmitting, to the first market center, a reserve order that comprises the quantity of the desired trading product, in which the reserve order is not disclosed publicly;

transmitting a first disclosure order to the first market center, in which a quantity of the first disclosure order equals the disclosure amount;

receiving an indication that the first disclosure order has been executed; transmitting, in response to the indication that the first disclosure order has been executed, a second disclosure order to the first market center, in which the second disclosure order equals the lesser of: the disclosure amount, or a remaining amount, in which the remaining amount comprises the quantity of the reserve order minus the quantity of the first disclosure order.

Feinbaum US2002/0156719 A1 teaches ""Show Only" instructs the system as to the portion of the total quantity that may be displayed to other users at any one time. The Show Only quantity will have price/time priority for only the amount shown. Amounts held in reserve will not have a price/time priority until shown." (Feinbaum US2002/0156719 A1 ¶ [0250])

It would have been obvious to one of ordinary skill in the art at the time of the invention to include a portion of the total quantity that may be displayed to other users at any one time as taught by Feinbaum US2002/0156719 A1 in the system of Tozzoli US 5,717,989 in view of Grigsby US 2002/0016758 A1, for the purpose of verifying that each portion of a transaction properly relates to the purchase order and criteria established by the funder and possibly by the trade system, since the claimed invention is merely a combination of old elements, and in the combination each element merely

would have performed the same function as it did separately, and one of ordinary skill in

the art would have recognized that the results of the combination were predictable.

As per claim 43 (New) Tozzoli US 5,717,989 in view of Grigsby US 2002/0016758 A1

teaches an apparatus of claim 38.

Tozzoli US 5,717,989 in view of Grigsby US 2002/0016758 A1 fails to teach that the first

disclosure is a proprietary reserve policy

""Show Only" instructs the system as to the portion of the total quantity that may be

displayed to other users at any one time. The Show Only quantity will have price/time

priority for only the amount shown. Amounts held in reserve will not have a price/time

priority until shown." (Feinbaum US2002/0156719 A1 ¶ [0250])

It would have been obvious to one of ordinary skill in the art at the time of the invention

to include a portion of the total quantity that may be displayed to other users at any one

time as taught by Feinbaum US2002/0156719 A1 in the system of Tozzoli US

5,717,989 in view of Grigsby US 2002/0016758 A1, for the purpose of verifying that

each portion of a transaction properly relates to the purchase order and criteria

established by the funder and possibly by the trade system, since the claimed invention

is merely a combination of old elements, and in the combination each element merely

would have performed the same function as it did separately, and one of ordinary skill in

the art would have recognized that the results of the combination were predictable.

As per claim 45 (New) Tozzoli US 5,717,989 in view of Grigsby US 2002/0016758 A1 teaches an apparatus of claim 38.

Tozzoli US 5,717,989 in view of Grigsby US 2002/0016758 A1 fails to teach that the at least one rule of the first disclosure policy comprises disclosing only the disclosure amount to other market participants.

Feinbaum US2002/0156719 A1 teaches ""Show Only" instructs the system as to the portion of the total quantity that may be displayed to other users at any one time. The Show Only quantity will have price/time priority for only the amount shown. Amounts held in reserve will not have a price/time priority until shown." (Feinbaum US2002/0156719 A1 ¶ [0250])

It would have been obvious to one of ordinary skill in the art at the time of the invention to include a portion of the total quantity that may be displayed to other users at any one time as taught by Feinbaum US2002/0156719 A1 in the system of Tozzoli US 5,717,989 in view of Grigsby US 2002/0016758 A1, for the purpose of verifying that each portion of a transaction properly relates to the purchase order and criteria established by the funder and possibly by the trade system, since the claimed invention is merely a combination of old elements, and in the combination each element merely would have performed the same function as it did separately, and one of ordinary skill in the art would have recognized that the results of the combination were predictable.

As per claim 47 (New) Tozzoli US 5,717,989 in view of Grigsby US 2002/0016758 A1 teaches an apparatus of claim 46.

Tozzoli US 5,717,989 in view of Grigsby US 2002/0016758 A1 fails to teach that the memory further stores instructions which, when executed by the processor, direct the processor to perform the acts of: transmitting an IOC order that comprises the quantity of the desired trading product; and receiving an indication from the first market center that a portion of the IOC order has been executed; and

transmitting, in response to receiving the indication that the portion of the IOC order has been executed, a request to cancel a remainder of the IOC order with the first market center, in which the remainder comprises the quantity of the desired trading product minus the executed portion of the IOC order.

""Show Only" instructs the system as to the portion of the total quantity that may be displayed to other users at any one time. The Show Only quantity will have price/time priority for only the amount shown. Amounts held in reserve will not have a price/time priority until shown." (Feinbaum US2002/0156719 A1 ¶ [0250])

It would have been obvious to one of ordinary skill in the art at the time of the invention to include a portion of the total quantity that may be displayed to other users at any one time as taught by Feinbaum US2002/0156719 A1 in the system of Tozzoli US 5,717,989 in view of Grigsby US 2002/0016758 A1, for the purpose of verifying that each portion of a transaction properly relates to the purchase order and criteria established by the funder and possibly by the trade system, since the claimed invention is merely a combination of old elements, and in the combination each element merely would have performed the same function as it did separately, and one of ordinary skill in the art would have recognized that the results of the combination were predictable.

As per claim 48 (New) Tozzoli US 5,717,989 in view of Grigsby US 2002/0016758 A1 teaches an apparatus of claim 43.

Tozzoli US 5,717,989 in view of Grigsby US 2002/0016758 A1 fails to teach that the memory further stores instructions which, when executed by the processor, direct the processor to perform the acts of:

transmitting, to the first market center, a reserve order that comprises the quantity of the desired trading product, in which the reserve order is not disclosed publicly; transmitting a first disclosure order to the first market center, in which a quantity of the first disclosure order equals the disclosure amount;

receiving an indication that the first disclosure order has been executed; transmitting, in response to the indication that the first disclosure order has been executed, a second disclosure order to the first market center, in which the second disclosure order equals the lesser of: the disclosure amount, or a remaining amount, in which the remaining amount comprises the quantity of the reserve order minus the quantity of the first disclosure order.

Feinbaum US2002/0156719 A1 teaches ""Show Only" instructs the system as to the portion of the total quantity that may be displayed to other users at any one time. The Show Only quantity will have price/time priority for only the amount shown. Amounts held in reserve will not have a price/time priority until shown." (Feinbaum US2002/0156719 A1 ¶ [0250])

It would have been obvious to one of ordinary skill in the art at the time of the invention to include a portion of the total quantity that may be displayed to other users at any one time as taught by Feinbaum US2002/0156719 A1 in the system of Tozzoli US 5,717,989 in view of Grigsby US 2002/0016758 A1, for the purpose of verifying that each portion of a transaction properly relates to the purchase order and criteria established by the funder and possibly by the trade system, since the claimed invention is merely a combination of old elements, and in the combination each element merely would have performed the same function as it did separately, and one of ordinary skill in the art would have recognized that the results of the combination were predictable.

As per claim 54 (New) Tozzoli US 5,717,989 in view of Grigsby US 2002/0016758 A1 teaches an article of manufacture of claim 49.

Tozzoli US 5,717,989 in view of Grigsby US 2002/0016758 A1 fails to teach that the first disclosure is a proprietary reserve policy

""Show Only" instructs the system as to the portion of the total quantity that may be displayed to other users at any one time. The Show Only quantity will have price/time priority for only the amount shown. Amounts held in reserve will not have a price/time priority until shown." (Feinbaum US2002/0156719 A1 ¶ [0250])

It would have been obvious to one of ordinary skill in the art at the time of the invention to include a portion of the total quantity that may be displayed to other users at any one time as taught by Feinbaum US2002/0156719 A1 in the system of Tozzoli US 5,717,989 in view of Grigsby US 2002/0016758 A1, for the purpose of verifying that

each portion of a transaction properly relates to the purchase order and criteria

established by the funder and possibly by the trade system, since the claimed invention

is merely a combination of old elements, and in the combination each element merely

would have performed the same function as it did separately, and one of ordinary skill in

the art would have recognized that the results of the combination were predictable.

As per claim 56 (New) Tozzoli US 5,717,989 in view of Grigsby US 2002/0016758 A1

teaches an article of manufacture of claim 49.

Tozzoli US 5,717,989 in view of Grigsby US 2002/0016758 A1 fails to teach that the at

least one rule of the first disclosure policy comprises disclosing only the disclosure

amount to other market participants.

""Show Only" instructs the system as to the portion of the total quantity that may be

displayed to other users at any one time. The Show Only quantity will have price/time

priority for only the amount shown. Amounts held in reserve will not have a price/time

priority until shown." (Feinbaum US2002/0156719 A1 ¶ [0250])

It would have been obvious to one of ordinary skill in the art at the time of the invention

to include a portion of the total quantity that may be displayed to other users at any one

time as taught by Feinbaum US2002/0156719 A1 in the system of Tozzoli US

5,717,989 in view of Grigsby US 2002/0016758 A1, for the purpose of verifying that

each portion of a transaction properly relates to the purchase order and criteria

established by the funder and possibly by the trade system, since the claimed invention

is merely a combination of old elements, and in the combination each element merely

would have performed the same function as it did separately, and one of ordinary skill in the art would have recognized that the results of the combination were predictable.

As per claim 58 (New) Tozzoli US 5,717,989 in view of Grigsby US 2002/0016758 A1 teaches an article of manufacture of claim 57.

Tozzoli US 5,717,989 in view of Grigsby US 2002/0016758 A1 fails to teach that the storage medium further stores instructions which, when executed by the processor, direct the processor to perform the acts of: transmitting an IOC order that comprises the quantity of the desired trading product; and receiving an indication from the first market center that a portion of the IOC order has been executed; and

transmitting, in response to receiving the indication that the portion of the IOC order has been executed, a request to cancel a remainder of the IOC order with the first market center, in which the remainder comprises the quantity of the desired trading product minus the executed portion of the IOC order.

""Show Only" instructs the system as to the portion of the total quantity that may be displayed to other users at any one time. The Show Only quantity will have price/time priority for only the amount shown. Amounts held in reserve will not have a price/time priority until shown." (Feinbaum US2002/0156719 A1 ¶ [0250])

It would have been obvious to one of ordinary skill in the art at the time of the invention to include a portion of the total quantity that may be displayed to other users at any one time as taught by Feinbaum US2002/0156719 A1 in the system of Tozzoli US 5,717,989 in view of Grigsby US 2002/0016758 A1, for the purpose of verifying that

each portion of a transaction properly relates to the purchase order and criteria established by the funder and possibly by the trade system, since the claimed invention is merely a combination of old elements, and in the combination each element merely would have performed the same function as it did separately, and one of ordinary skill in the art would have recognized that the results of the combination were predictable.

As per claim 59 (New) Tozzoli US 5,717,989 in view of Grigsby US 2002/0016758 A1 teaches an article of manufacture of claim 54.

Tozzoli US 5,717,989 in view of Grigsby US 2002/0016758 A1 fails to teach that the storage medium further stores instructions which, when executed by the processor, direct the processor to perform the acts of:

transmitting, to the first market center, a reserve order that comprises the quantity of the desired trading product, in which the reserve order is not disclosed publicly; transmitting a first disclosure order to the first market center, in which a quantity of the first disclosure order equals the disclosure amount;

receiving an indication that the first disclosure order has been executed; transmitting, in response to the indication that the first disclosure order has been executed, a second disclosure order to the first market center, in which the second disclosure order equals the lesser of: the disclosure amount, or a remaining amount, in which the remaining amount comprises the quantity of the reserve order minus the quantity of the first disclosure order.

Feinbaum US2002/0156719 A1 teaches ""Show Only" instructs the system as to the portion of the total quantity that may be displayed to other users at any one time. The Show Only quantity will have price/time priority for only the amount shown. Amounts held in reserve will not have a price/time priority until shown." (Feinbaum US2002/0156719 A1 ¶ [0250])

It would have been obvious to one of ordinary skill in the art at the time of the invention to include a portion of the total quantity that may be displayed to other users at any one time as taught by Feinbaum US2002/0156719 A1 in the system of Tozzoli US 5,717,989 in view of Grigsby US 2002/0016758 A1, for the purpose of verifying that each portion of a transaction properly relates to the purchase order and criteria established by the funder and possibly by the trade system, since the claimed invention is merely a combination of old elements, and in the combination each element merely would have performed the same function as it did separately, and one of ordinary skill in the art would have recognized that the results of the combination were predictable.

Conclusion

8.   The following is prior art made of record and not relied upon is considered pertinent to applicant's disclosure:

Cristofich (US 6,173,270 B1) teaches a system and method for managing a plurality of stock option accounts each for a plurality of participants. The system invokes a particular option plan defined in the system that governs the transaction choices

available to each participants The governing option plans are defined by the sponsoring company in terms of grant, vest and expiration date for the option contracts, and are defined in the system via a database of option holding information for each participant and an axiomatic rule system defining the criteria under which a given participant can exercise given options under the particular plan.

Nieboer (US 6,418,419 B1) automatically and anonymously buying and selling positions in fungible properties between subscribers buying and selling of securities or contracts where the offer to purchase or sell the property may be conditioned upon factors such as the ability to purchase or sell other property or the actual purchase or sale of other property.

Selleck (US 2001/0049651 A1) teaches a trading system and method for use on a global communications network such as the Internet and accessible by anyone with Internet access and an account.

Goino (US 20010056396 A1 teaches auction methods, systems and servers which can satisfy requirements other than the price for a client are provided. An auction client selects a desired one from time slide schemes from a terminal, and enters a due date in an associated entry field.

May (US 6,421,653 B1) teaches an internet-protocol based anonymous trading system which enables traders to identify bids and offers which they are eligible to trade based upon a color coded methodology which gives the trader credit preference information about the potential counterparty while still maintaining the anonymity of the potential counterparty.

Kokis (US 2003/0172024) teaches market participant profiling process includes a parameter specification process that allows a market participant to define one or more default order processing parameters. A default parameter application process applies the default order processing parameters to all future orders entered by the market participant.

Amanat (US 6,532,460 B1) teaches administering redundant cancellations of orders for securities, canceling orders for securities in an automated securities trading broker-dealer system, receiving new cancellations from clients and searching a cancellation queue for cancellations corresponding to the new cancellations.

9.   Any inquiry concerning this communication or earlier communications from the examiner should be directed to Gerald C. Vizvary whose telephone number is 571-270-3268. The examiner can normally be reached on Monday thru Friday.

If attempts to reach the examiner by telephone are unsuccessful, the examiner's supervisor, Abdi Kambiz can be reached on 571-272-6702. The fax phone number for the organization where this application or proceeding is assigned is 571-270-4268.

Information regarding the status of an application may be obtained from the Patent Application Information Retrieval (PAIR) system. Status information for published applications may be obtained from either Private PAIR or Public PAIR. Status information for unpublished applications is available through Private PAIR only. For more information about the PAIR system, see http://pair-direct.uspto.gov. Should you have questions on access to the Private PAIR system, contact the Electronic Business Center (EBC) at 866-217-9197 (toll-free). If you would like assistance from a USPTO Customer Service Representative or access to the automated information system, call 800-786-9199 (IN USA OR CANADA) or 571-272-1000.

/Thomas Dixon/
Primary Examiner, Art Unit 3684

Gerald Vizvary
Patent Examiner, A.U. 3684
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